

Abstract of the Disclosure

Orders for execution of securities transactions and requests for asset movement are screened by a rules engine and may be automatically approved. The rules engine has rules which are user configurable. The rules may be
5 configured to provide different outcomes, to provide a user selectable scope of application and to provide user selectable parameters. A transaction is processed against the rule set applicable thereto in order of increasing scope of the rules. That is, rules applicable to the account level are processed before rules applicable to the registered representative, office or firm. Individual broker-dealer firms
10 may each configure rules applicable to their own firms independently of rules applicable to any other firm serviced by the rules engine.